

01-17-06
ATTORNEYS DOCKET
069547.0179

PATENT APPLICATION
USSN 10/716,304 *fw*



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Alastair J.D. Beadle, et al.
Serial No.: 10/716,304
Filing Date: November 18, 2003
Group Art Unit: 3624
Confirmation No. 6922
Examiner: Unknown
Title: *SYSTEM AND METHOD FOR MANAGING RELATIONSHIPS
BETWEEN BROKERS AND TRADERS*

Mail Stop Amendment
Commissioner of Patents
PO Box 1450
Alexandria, VA 22313-1450

Dear Sir:

CERTIFICATE OF MAILING BY EXPRESS MAIL

I hereby certify that the attached Information Disclosure Statement (2 pages), Form PTO-1449 (1 page) with 1 attached reference, Baker Botts return postcard (1 postcard), and this Certificate of Mailing (1 page) are being deposited with the United States Postal Service, "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on this 13th day of January 2006 and is addressed to the Commissioner of Patents, PO Box 1450, Alexandria, VA 22313-1450.

Willie Jiles

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INFORMATION DISCLOSURE STATEMENT

Applicants respectfully request, pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, that the references listed on the attached PTO-1449 form be considered and cited in the examination of the above-identified patent application. The present application was filed after June 30, 2003. Therefore, under the July 11, 2003, waiver of 37 C.F.R. § 1.98(a)(2)(i) by the U.S. Patent and Trademark Office, copies of U.S. Patents listed in the attached PTO-1449 form are not enclosed. Copies of all other references are enclosed for the convenience of the Examiner. No representation is made that a search has been made, that these references are material to patentability, or that these references qualify as prior art. The items contained in this Information Disclosure Statement were cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. §1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

REMARKS

Pursuant to 37 C.F.R. § 1.97(b), Applicants believe this Information Disclosure Statement has been filed before the **issuance/mailing**-date of the first Office Action. Therefore, Applicants believe no fee is due. However, if a fee is required, the Commissioner is hereby authorized to charge any fees or credit any overpayments to Deposit Account No. 02-0384 of Baker Botts L.L.P.

Respectfully submitted,

Baker Botts L.L.P.
Attorneys for Applicants



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Date: January 13, 2006

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PTO-1449 Information Disclosure Citation In an Application	Application No. 10/716,304	Applicant(s) Alastair J.D. Beadle, et al.	
	Docket Number 069547.0179	Group Art Unit 3624	Filing Date November 18, 2003

U.S. PATENT DOCUMENTS

		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	A	4,949,248	08/14/1990	Caro	364	200	07/15/1988
	B	6,230,201 B1	05/08/2001	Guck, et al.	709	228	05/29/1998
	C	6,721,746 B2	04/13/2004	Zulpa, et al.	707	10	12/27/2000
	D						
	E						
	F						
	G						
	H						
	I						
	J						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	K							
	L							

		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
	M	PCT Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration, re International Application Number PCT/US04/36014 filed October 28, 2004, 8 pages.	12/15/2005
	N		
	O		
	P		
	Q		

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

U.S. PATENT AND TRADEMARK OFFICE